

02-22-02

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SUBSTITUTE for PTO/STANDARD Utility Patent Application Transmittal  
 Approved for use through 10/31/2002. OMB 0651-0032  
 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 20832Y  
 First Inventor or Application Identifier Nigel J. Liverton, et al.  
 Title N-SUBSTITUTED NONARYL-HEYEROCYCLIC  
 NMDA/NR2B ANTAGONIST  
 Express Mail Label No. EL920763823US

10/079452

02/20/02

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [ Total Pages 205 ]
3. ☐ Drawing(s) (35 USC 113) [ Total Sheets ]  
[ Total Pages 205 ]
4. Oath or Declaration
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 14 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior  
application, see 37 CFR 1.63(d)(2)  
and 1.33 (b).
5. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
 Box Patent Application  
 Washington, DC 20231

6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form
  - b. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment papers (cover sheet & document(s))
8. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
9. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
10. ☐ Preliminary Amendment
11. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
12. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
13. ☐ Other: \_\_\_\_\_

14. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_ / \_\_\_\_  
 Prior application information: Examiner \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.


## 15. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

**Customer No. 000210**

(Insert Customer No. or Attach bar code here)

NAME	Shu Muk Lee				
ADDRESS	Merck & Co., Inc., P. O. Box 2000 - Patent Dept., RY60-30				
CITY	Rahway	STATE	NJ	ZIP CODE	07065-0907
COUNTRY	USA	TELEPHONE	732-594- 2675	FAX	732-594-4720

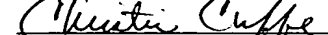
Name	Shu Muk Lee	Registration No. (Attorney/Agent)	41,147
Signature		Date	Feb. 20, 2002

## EXPRESS MAIL CERTIFICATE

DATE OF DEPOSIT February 20, 2002

EXPRESS MAIL NO. EL920763823US

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS EXPRESS MAIL "POST OFFICE TO ADDRESSEE" ON THE ABOVE DATE IN AN ENVELOPE ADDRESSED TO ASSISTANT COMMISSIONER FOR PATENTS, BOX PATENT APPLICATION, WASHINGTON, D.C. 20231.

MAILED BY  DATE 2-20-02

Application Number: To Be Assigned  
Filing Date: Herewith  
First Named Inventor: Nigel J. Liverton, et al.  
Group Art Unit: \_\_\_\_\_  
Examiner Name: \_\_\_\_\_  
Attorney Docket Number: 20832Y

**EXPRESS MAIL CERTIFICATE**

DATE OF DEPOSIT February 20, 2002  
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MAILED BY Christine Cuffe DATE 2-20-02

# FEE TRANSMITTAL

Patent fees are subject to annual revision.

## Complete if Known

Application Number	To Be Assigned
Filing Date	Herewith
First Named Inventor	Nigel J. Liverton, et al.
Examiner Name	
Group Art Unit	
Attorney Docket Number	20832Y

TOTAL AMOUNT OF PAYMENT \$1,316

## METHOD OF PAYMENT (Check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number
- Deposit Account Name
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
2. ☐ Payment Enclosed:
- ☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	Utility filing fee	740
106	330	Design filing fee	
108	740	Reissue filing fee	
114	160	Provisional filing fee	
SUBTOTAL(1)			\$740

### 2. EXTRA CLAIM FEES

	Extra	Fee from below	Fee Paid
Total Claims	52 - 20 ** = 32	x \$18 =	576
Independent Claims	1 - 3 ** = 0	x \$84 =	0
Multiple Dependent Claims		\$280 =	

\*\*or number previously paid, if greater; For Reissues, see below

Large Fee Code	Entity Fee (\$)	Fee Description
103	18	Claims in excess of 20
102	84	Independent claims in excess of 3
104	280	Multiple dependent claim, if not paid
109	84	**Reissue independent claims over original patent
110	18	**Reissue claims in excess of 20 and over original patent
SUBTOTAL(2)		\$576


## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	Surcharge - late filing fee or oath	
147	2,520	For filing a request for reexamination	
115	110	Extension for reply within first month	
116	400	Extension for reply within second month	
117	920	Extension for reply within third month	
118	1,440	Extension for reply within fourth month	
128	1,960	Extension for reply within fifth month	
119	320	Notice of Appeal	
120	320	Filing a brief in support of an appeal	
121	280	Request for oral hearing	
140	110	Petition to revive - unavoidable	
141	1,280	Petition to revive - unintentional	
142	1,280	Utility issue fee (or reissue)	
143	460	Design issue fee	
122	130	Petitions to the Commissioner	
123	50	Petitions related to provisional applications	
126	180	Submission of Information Disclosure Statement	
581	40	Recording each patent assignment per property (times number of properties)	
146	740	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	Request for Continued Examination (RCE)	
Other fee (specify)			
Other fee (specify)			
SUBTOTAL(3)			\$0

## SUBMITTED BY

## Complete (if applicable)

Typed or Printed Name	Shu Muk Lee	Reg. Number	41,147
Signature		Date	Feb. 20, 2002
		Deposit Account User ID	